

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1398.1001DD	APPLICATION NO. Divisional 10/190,511
LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)		FIRST NAMED INVENTOR Simon CAO	
		FILING DATE November 24, 2003	GROUP ART UNIT <u>2872</u> To be Assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
<i>chc</i>	AA	5,283,846	02/01/94	Toyonaka et al.			
<i>chc</i>	AB	5,606,439	02/25/97	Wu			
<i>chc</i>	AC	5,768,005	06/16/98	Cheng et al.			
<i>chc</i>	AD	5,768,015	06/16/98	Pattie			
<i>chc</i>	AE	6,122,110	11/06/98	Toyonaka et al.			
<i>chc</i>	AF	5,912,766	06/15/99	Pattie			
<i>chc</i>	AG	6,088,153	07/11/00	Anthon et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
<i>chc</i>	AH	0 123 456 A2	10/31/84	EPO				
	AI							
	AJ							
	AK							
	AL							

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

							TRANSLATION YES NO	
<i>chc</i>	AM	Tanaka et al., Holographically formed liquid-crystal/polymer device for reflective color display, Journal of the Society for Information Display, February 1994, Vol. 2, No. 1, pp. 37-40						

EXAMINER <i>Craig H. Curtis</i>	DATE CONSIDERED <i>12 May 2004</i>
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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		FILING DATE November 24, 2003	GROUP ART UNIT 2872 To be Assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
CXC	BA	4,548,478	10/22/85	Shirasaki			
CSEC	BB	4,712,880	12/15/87	Shirasaki			
CSEC	BC	5,033,830	07/23/91	Jameson			
CXC	BD	5,499,132	03/12/96	Tojo et al.			
CSEC	BE	5,689,360	11/18/97	Kurata et al.			
CSEC	BF	5,845,023	12/1998	Lee			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	BG							
	BH							
	BI							
	BJ							
	BK							
	BL							

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

TRANSLATION
YES NO

	BM			
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EXAMINER Craig H. Curtis	DATE CONSIDERED 12 May 2004
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ATTACHMENT 1(f)

LIST OF COPENDING APPLICATIONS	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Divisional 10/190,511
	FIRST NAMED INVENTOR	
	Simon CAO	
	FILING DATE	GROUP ART UNIT
	November 24, 2003	2872 To be Assigned

The following, prior-filed, copending U.S. patent application(s) is/are listed in accordance with the duty of disclosure provisions of 37 CFR § 1.56, so that the Examiner may consider same should he deem any thereof to be material to examination of the subject application. Pursuant to 37 CFR 1.98(a)(2)(iii), a copy of the identified copending application(s) is provided.

It is requested that the Examiner acknowledge his consideration of application(s) below-listed by initialling same in the space provided adjacent each such application and that the Examiner sign and date this form at the bottom thereof to confirm such consideration having been given.

This submission in no way represents an admission that any of the information listed herein constitutes prior art with respect to the subject application and unless and until such prior art status is established, this submission is not a request that the information presented herein be printed on the face of any patent issuing from the subject application in which this information is being filed.

U.S. PATENT APPLICATION DOCUMENTS

EXAMINER INITIAL		U.S. SERIAL NO.	FILING DATE	NAME	ASSIGNEE
<i>che</i>	1	10/190,511	07/09/02	Simon CAO	AVANEX CORPORATION
	2				
	3				
	4				
	5				
	6				
	7				
	8				

EXAMINER	DATE CONSIDERED
<i>Braig H. Curtis</i>	<i>12 May 2004</i>
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

ATTACHMENT 1(g)

LIST OF ADDITIONAL SUBMITTED DOCUMENTS	ATTORNEY DOCKET NO.	APPLICATION NO.
	1398.1001DD	Divisional 10/190,511
	FIRST NAMED INVENTOR	
	Simon CAO	
	FILING DATE	GROUP ART UNIT
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
<i>chc</i>	AA	6,169,064	01/02/01	Simon X.F. Cao	356	519	02/10/99
<i>chc</i>	AB	6,310,690 B1	10/30/01	Simon X.F. Cao and Xiaoping Mao	356	519	09/01/99
<i>chc</i>	AC	6,532,316	03/11/03	Simon Cao			11/10/99
<i>chc</i>	AD	6,480,331	11/12/02	Simon Cao			11/10/99

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES NO	
<i>chc</i>	AC	EP-0123456-A2	01/2000	EPO (Doe et al.)				

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>chc</i>	AD	PCT Notification of Transmittal of International Preliminary Examination Report, PCT International Preliminary Examination Report (no mailing date), in corresponding PCT International application No. PCT/US00/39017
<i>chc</i>	AE	PCT Notification of Transmittal of International Preliminary Examination Report, mailed February 19, 2002, including PCT International Preliminary Examination Report in International Application No. PCT/US0030-916 corresponding to co-pending application U.S. Serial No. 09/438,043 (Now U.S. Patent No. 6,532,316).

EXAMINER	<i>Craig H. Curtis</i>	<i>12 May 2004</i>
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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

			TRANSLATION	
			YES	NO
	BA	Kreifeldt, E., "Avanex Emerges with 'Photonic Process' Technology", http://news.fiberopticonline.com/news-analysis/19990429-1759.html , pp. 1-6, 4/29/99		
	BB	Written Opinion, mailed August 29, 2001, in International Application No. PCT/US00/30916 (which corresponds to co-pending U.S. Serial No. 09/438,043, now U.S. Patent No. 6,532,316)		
	BC	Written Opinion, mailed October 31, 2001, in International Application No. PCT/US00/30917 (corresponding to the above-mentioned U.S. Serial No. 09/437,791, now U.S. Patent No. 6,480,331)		
	BD	International Search Report, dated April 4, 2001, for International Application No. PCT/US00/30917 (which corresponds to the above-mentioned U.S. Serial No. 09/437,791, now U.S. Patent No. 6,480,331)		
	BE	International Search Report, dated March 1, 2001, for International Application No. PCT/US00/30916 (which corresponds to co-pending U.S. Serial No. 09/438,043, now U.S. Patent No. 6,532,316)		
	BF	Lee et al., "Bidirectional Wavelength-Selective Optical Isolator", 5 July 2001, ELECTRONICS LETTERS, vol. 37, No. 14, pp. 910-912		

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